

#4
2163
PRB
S-702IN THE UNITED STATES PATENT AND TRADEMARK OFFICEIn re Application of:
John Bunda

Serial No. 09/970,078

Filed: October 3, 2001

For: METHODS AND SYSTEMS FOR
MANAGING A PORTFOLIO
OF SECURITIES

§ Examiner: Unknown
 § Group Art Unit: 2163
 § Atty. Dkt. 5226-02200

Certificate of Mailing 37 C.F.R. § 1.8(a)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below:

4-5-02

Jackie L. Pitre

RECEIVED
APR 10 2002
Technology Center 2100

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant respectfully requests that the Examiner consider the following U.S. Patent applications: 09/460,045, 09/629,657, 09/629,356, 09/676,019, 09/876,270, 09/866,500, 09/885,817, 09/885,865; 09/934,448 and 10/014,948. A copy of each of the above-referenced applications is enclosed for the convenience of the Examiner. Each of the above-referenced patent applications is to be considered as "Trade Secret" materials. As such, each of the above-referenced applications has been sealed and clearly marked as "Trade Secret" materials. The enclosed applications are not open to the public. The enclosed patent applications are to be opened only by an Examiner or other authorized Patent and Trademark Office employees.

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. A copy of each listed document is enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-02200/EBM.

Respectfully submitted,

Eric B. Meyertons
 Reg. No. 34,876
 Attorney for Applicant(s)

CONLEY, ROSE & TAYON, P.C.
 P.O. BOX 398
 AUSTIN, TEXAS 78767-0398
 (512) 703-1254

Date: 9/4/02

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)



ATTY. DOCKET NO: 5226-02200

SERIAL NO: 09/970,078

APPLICANT: John Bunda

FILING DATE: October 3, 2001

GROUP: 2163

U.S. PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|-------------------|-------------|--------------------|---------|-------------------|-------|--------------|-------------------------------|
| | B1 | 4,674,044 | 6/1987 | Kalmus, et al. | | | |
| | B2 | 5,347,452 | 9/1994 | Bay, Jr. | | | |
| | B3 | 5,787,402 | 7/1998 | Potter, et al. | | | |
| | B4 | 5,950,176 | 9/1999 | Keiser, et al. | | | |
| | B5 | 6,014,643 | 1/2000 | Minton | | | |
| | B6 | 6,016,483 | 1/2000 | Rickard, et al. | | | |
| | C1 | 6,260,025 | 7/2001 | Silverman, et al. | | | |
| | C2 | 6,006,206 | 12/1999 | Smith, et al. | | | |
| | C3 | 5,987,432 | 11/1999 | Zusman, et al. | | | |

FOREIGN PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION. YES/NO |
|-------------------|-------------|-----------------|------|---------|-------|--------------|------------------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|--|----|--|
| | B7 | Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2. |
| | B8 | "Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs. |
| | B9 | "Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2. |
| | AA | Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)

List of Patents and Publications
 For Applicant's Information
 Disclosure Statement
 (Use several sheets if necessary)



ATTY. DOCKET NO: 5226-02200

SERIAL NO: 09/970,078

APPLICANT: John Bunda

FILING DATE: October 3, 2001

GROUP: 2163

U.S. PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|-------------------|-------------|--------------------|---------|-------------------|-------|--------------|-------------------------------|
| | C4 | 5,966,531 | 10/1999 | Skeen, et al. | | | RECEIVED |
| | C5 | 5,924,083 | 7/1999 | Silverman, et al. | | | APR 10 2002 |
| | C6 | 5,924,082 | 7/1999 | Silverman, et al. | | | |
| | C7 | 5,727,165 | 3/1998 | Ordish, et al. | | | Technology Center 2100 |
| | C8 | 5,195,031 | 3/1998 | Ordish | | | |
| | C9 | 5,136,501 | 8/1992 | Silverman, et al. | | | |
| | C10 | 5,077,665 | 12/1991 | Silverman, et al. | | | |
| | C11 | 5,034,916 | 7/1991 | Ordish | | | |
| | C12 | 5,003,473 | 3/1991 | Richards | | | |

FOREIGN PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION. YES/NO |
|-------------------|-------------|-----------------|------|---------|-------|--------------|------------------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | |
|-----|---|
| C13 | "gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000 |
| C14 | Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000 |
| | |
| | |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

| Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary) | | | ATTY. DOCKET NO: 5226-02200 | SERIAL NO. 09/970,078 | | | |
|--|-------------|--------------------|------------------------------|-----------------------|------------------------|--------------|-------------------------------|
| | | | APPLICANT: John Bunda | | | | |
| | | | FILING DATE: October 3, 2001 | GROUP: 2163 | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
| | C15 | 4,750,135 | 6/1988 | Boilen | | | |
| | C16 | 4,745,559 | 5/1988 | Willis, et al. | | | |
| | C17 | 6,278,982 | 8/2001 | Korhammer, et al. | | | |
| | | | | | RECEIVED | | |
| | | | | | APR 10 2002 | | |
| | | | | | Technology Center 2100 | | |
| | | | | | | | |
| | | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION. YES/NO |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| EXAMINER: | | | DATE CONSIDERED: | | | | |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner. | | | | | | | |

Information Disclosure Statement--PTO 1449 (modified)